

# Investigator Handbook

*Unclaimed Property Program*



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# Unclaimed Property Program

This handbook has been prepared to assist investigators in reuniting owners with, or locating heirs to, unclaimed property.

California's Unclaimed Property Program is administered by the State Controller's Office (SCO), Bureau of Unclaimed Property (the Bureau). The program includes two types of property: abandoned property and estates of deceased persons.

## Abandoned Property

Statutes and regulations governing the administration of the Abandoned Property Program are provided in the *Code of Civil Procedure (CCP)*, Sections 1500 - 1582, and in the *California Administrative Code*, Title 2, Subchapter 8, Articles 1 - 5.

The Abandoned Property Program requires holders of abandoned property to remit such funds to the State Controller when the holder has had no contact with the owner for a prescribed period of time. The original owner may have forgotten about the property or, in some instances, never knew of its existence. The property is held in perpetuity by the Controller's Office, meaning there is no deadline by which claims must be filed.

Examples of abandoned property include savings accounts, checking accounts, certified checks, drafts, dividend and interest payments, wages, pension funds, stocks, mutual funds, bonds, debentures, and credit balances.

## Property Record Files

The Bureau's principal abandoned property records are maintained on two computer files, the Accountability File and the Unclaimed Property System (UPS).

The Accountability File contains records from the beginning of the Unclaimed Property Program through 1993 for cash properties, and through 1997 for securities properties. This file is being phased out, and only a limited number of unclaimed property reports are being uploaded to it.

The UPS is the Bureau's master computer file. All unclaimed property reports are uploaded to this file, which contains the most current information. Many accounts from the Accountability File have been converted to the UPS.

## Access to Records

Records in the Accountability File and the Unclaimed Property System can be accessed on the SCO Web site, at <http://www.sco.ca.gov>. In addition, the Accountability File records are available on microfiche and the Unclaimed

Property System records are accessible through a CD-ROM application. Microfiche and CD-ROM records may be purchased or viewed at the Bureau's Sacramento office, at 3301 C Street, Suite 712. (An order form is provided on Appendix B, page B-1 of this handbook.)

## **Estates of Deceased Persons for Probated Estates Escheated by County Treasurer's Offices**

Estates of deceased persons are remitted to the State Controller under provisions of the *Probate Code* and the *Code of Civil Procedure* (CCP), Section 1300 et seq. Unlike abandoned property accounts, which are held in perpetuity, estate accounts permanently escheat and are no longer available to claim after a period of time.

### **Judicial Escheat**

Estates in the amount of \$1,000 or greater with named heirs are subject to judicial escheat.

After the Bureau has held estate funds for five years, it forwards a list of the estates to the Office of the Attorney General. The Attorney General publishes the decedents' names and the decedents' named heirs in a newspaper of general circulation in the counties in which the estates were probated. After publication of the names, the Attorney General consults with the Bureau to identify any estates where a valid claim has been established against the estate. If no claim activity has been made on an estate, the Attorney General obtains a permanent escheat court order. Five years from the date of the court order, the estate is permanently escheated by operation of law and all future claims are barred. Thus, estate accounts in the amount of \$1,000 or greater with named heirs are subject to claim for a period of 10 years after the estate is received by the Bureau of Unclaimed Property.

### **Administrative Escheat**

Estates under \$1,000 with named heirs are subject to administrative escheat.

Five years from the date on which the Bureau receives the estate, a legal notice is published in a newspaper of general circulation in San Francisco, Los Angeles, and Sacramento. Additionally, a list of estates, including named heirs that are subject to permanent escheat is on display in the offices of the State Controller in Sacramento and Los Angeles, and in the office of the Attorney General in San Francisco. Five years from the publication date of the newspaper, these estates are permanently escheated by operation of law and all future claims are barred. Thus, estate accounts under \$1,000 with named heirs are subject to claim for a period of 10 years after the estate is received by the Bureau of Unclaimed Property.

## **Estates with No Heirs**

Estates with no named heirs permanently escheat five years from the estate's probate date, regardless of when the Bureau receives the estate. Permanent escheat occurs by operation of law. Thus, estate accounts with no named heirs are subject to claim for a period of five years from the date on which the estate is probated.

## **Exception to Judicial and Administrative Escheat**

***Estates with Named Heirs*** — Infants and persons of unsound mind have an additional five years from the court order/publication date in which to claim estate accounts. Children must have been born or conceived prior to the end of this additional five-year period and must be 19 years of age or younger when the claim is presented for payment.

***Estates with No Known Heirs*** — The additional five-year period begins on the date of the Final Decree of Distribution for the original decedent.

## **Access to Records**

The Bureau's records for the estates of deceased persons are not posted to the State Controller's Office Web site, but they may be accessed on microfiche. The microfiche records may be purchased or viewed at the Bureau's Sacramento office. (An order form is provided on Appendix B, page B-1 of this handbook.)

# Available Unclaimed Property Information

Abandoned property information that is publicly accessible pertains to abandoned property that has been in the Bureau's possession for at least 12 months, pursuant to *Codes of Civil Procedure* (CCP) Section 1582, which provides, in part:

*...records of the Controller's Office pertaining to unclaimed property are not available for public inspection or copying until after publication of notice of the property or, if publication of notice of the property is not required, until one year after delivery of the property to the Controller.*

Information on abandoned property that has been in the Bureau's possession for less than 12 months is not included in the available records. Information on estates of deceased persons is not subject to this time restriction.

## Internet

Abandoned Property Program accounts since January 1, 1975, have been posted to the State Controller's Web site, [www.sco.ca.gov](http://www.sco.ca.gov). The site is updated weekly. It does not include information on paid accounts or accounts with claims pending.

The claim form on the Web site may be printed and attached to the investigator's claim form, but it may not be submitted in lieu of an investigator's claim package. Information on the claim process for investigators begins on page 20 of this handbook.

The Web site also contains other Unclaimed Property Program publications.

## CD-ROM

Since 1992, the Bureau of Unclaimed Property has uploaded the majority of cash unclaimed property reports to the master computer file, the UPS. In 1996, the Bureau began uploading all unclaimed property reports containing securities to the UPS. The majority of new unclaimed property information has been uploaded to the UPS, which has essentially replaced the Accountability File for abandoned property.

The information uploaded to UPS is available on CD-ROM for users with a CD-ROM Drive, 64 MB RAM, and Windows 95 (Upgrade B), Windows 98, Windows NT, Windows 2000, or Windows XP software. The purchaser of the CD-ROM must be willing to follow the terms and conditions of the State of California Software Agreement, shown on pages 7-9. For instructions on installing the CD on a personal computer and for navigating through the various screens, see page 10.



## **Microfiche Records**

Microfiche records contain data on abandoned property from the inception of the Unclaimed Property Program through October 2004. A limited number of reports on securities accounts are now being posted to this file. However, paid claim information continues to be updated on the microfiche files.

The following three types of microfiche files are for sale, at prices that cover the costs of development and preparation. See Appendix B, page B-1 in this handbook for price information and instructions on how to purchase the microfiche records.

### **Alpha File**

The Alpha File is an alphabetical listing of all named owners of abandoned property, decedents of estates, and named heirs of the estates of deceased persons. This file lists the names in alphabetical order, followed by the appropriate account number for that name. The account number is preceded by an "E" if it pertains to an estate. Each page of microfiche has a header index that indicates the number of the microfiche and the first name on that microfiche.

The Alpha File is updated as time and budgetary constraints allow. New names are alphabetically integrated with existing names when new unclaimed property reports are uploaded to the Accountability File. The names of decedents and of heirs of estate accounts that have been claimed or that have permanently escheated have been deleted from the Alpha File.

### **Abandoned Property Accountability File**

The Accountability File includes abandoned property accounts that may be subject to claim under the Unclaimed Property Law. The accounts are listed in numerical order. The information on the microfiche includes the name of the holder that remitted the unclaimed property, the name and address of the named owner(s), the type of property remitted, securities information for securities-type properties, paid claim information, the account balance, and related information.

### **Estates of Deceased Persons Accountability File**

The Estates of Deceased Persons Accountability File lists all estate accounts. However, only those accounts that have not permanently escheated are subject to claim.

The information on the microfiche includes the State Controller's account number, the name of the decedent, the county code that identifies the county of probate, the probate number, the type of estate (known heirs or no known heirs), named heirs, paid claim information, the account balance, and related information. The accounts are listed by State Controller's account number in numerical order.. The earlier accounts list only the State Controller's account number, the decedent's name, the amount received, and the date received.

Additional information on an estate account can be obtained from the county clerk's office in the county of probate.

The Estates of Deceased Persons Accountability File is periodically updated. Estate accounts are received semi-annually from the counties, and throughout the year from private and public administrators. Estate accounts are subject to permanent escheat by operation of law, in which case they are no longer subject to claim.

# State of California Software Agreement

READ THE FOLLOWING TERMS AND CONDITIONS CAREFULLY BEFORE OPENING THE PACKAGE CONTAINING THE STATE CONTROLLER'S CD SEARCH PROGRAM. OPENING THIS PACKAGE INDICATES YOUR ACCEPTANCE OF THESE TERMS AND CONDITIONS. IF YOU DO NOT AGREE WITH THESE TERMS AND CONDITIONS, PROMPTLY RETURN THE PACKAGE UNOPENED TO THE STATE OF CALIFORNIA, OFFICE OF THE STATE CONTROLLER, DIVISION OF COLLECTIONS, BUREAU OF UNCLAIMED PROPERTY, AND THE PURCHASE PRICE WILL BE REFUNDED.

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# CD-ROM Unclaimed Property Search

## **Information Available on CD-ROM**

In order to assist interested persons in obtaining information on unclaimed property, the State Controller's Office has provided access to its computerized data on a CD-ROM. The information contained on the CD-ROM has been extracted from the Unclaimed Property System (UPS), which is the Bureau's master computer file.

Since 1992, most unclaimed property reports have been uploaded directly to the UPS. The UPS file also contains information on some pre-1992 accounts that have been converted from the original computer system (Accountability File) to the UPS. Information relating to securities has been directly uploaded to the UPS since 1996.

The following instructions are designed to assist the user in installing and conducting searches on the CD-ROM. The instructions include all of the information needed for effective search and navigational techniques, as Bureau staff is unable to provide help-desk support. To use the Unclaimed Property Search Program, the following minimum system requirements must be met: CD-ROM Drive, 64 MB RAM, and Windows 95 (Upgrade B), Windows 98, Windows NT, Windows 2000, or Windows XP.

## **Installing the CD-ROM**

1. Ensure that the system requirements listed above are met.
2. Insert CD #1 into the CD-ROM drive.
3. Click on the START button.
4. Select RUN by clicking on it.
5. Click the BROWSE button and navigate to the CD-ROM DRIVE.
6. Click on the Install Folder to open it.
7. Double click on Setup, then click on OK for Setup.EXE in the Run box.
8. On the WELCOME TO THE CDSEARCH INSTALLATION screen, click on OK.
9. On the next page, click on the ICON of a computer.
10. On the CDSEARCH SET UP screen, click on OK.

## Starting the Program

1. Press the Start button.
2. Go to Programs, and then to CDSEARCH.
3. Select the CDSEARCH program.
4. The UPS Main Menu will be displayed.

## Using the Program

Each CD includes unclaimed property accounts that fall within a specified dollar amount range.

- CD #1 includes accounts within the range of \$0.01 to \$46.99.
- CD #2 includes accounts within the range of \$47.00 to \$79.99.
- CD #3 includes accounts within the range of \$80.00 to \$179.99.
- CD #4 includes accounts of \$180.00 and GREATER.

There are accounts on each CD that are either above or below the specified dollar amount range for the CD. These accounts contain security-related properties (i.e., those with a property type code of 2, 3, 5, 6, 7, 8, 10, 11, 13, or 14). Each CD contains a copy of all security-related properties. Therefore, it is not necessary to switch CDs when searching for security-related accounts.

## Search Capabilities

When you start the program, the UPS Main Menu displays the following search options: Property ID #, Owner Name, Dollar Amount, Number of Shares, Issue Name, and Holder Name. To navigate to a search function, click on the specific search title.

### Property ID # Search

Select this search option if you know the Controller's account number assigned to the unclaimed property account

1. Insert the CD into the CD-ROM drive.
2. Type the exact Property ID # (this is the same as the Controller's account #) in the box, then hit Enter or click on the SEARCH icon.
3. The Property ID # must be a nine-digit number. If it is not, the system displays an error message. If the error message is displayed, enter zeros in front of the number until it has nine digits.
4. When you successfully access an account, the system displays all information about the account on the screen. Refer to the charts in the Appendices of this handbook for explanations of the various data displayed.
5. To print the information displayed, click on the PRINT icon.

6. To return to the UPS Main Menu, click on the MAIN MENU icon.
7. To exit the CDSEARCH program, click on the EXIT icon.

### **Owner Name Search**

Select this search option if you do not know the Controller's account number assigned to the unclaimed property account.

1. Insert the CD into the CD-ROM drive.
2. Type the last name of the owner in the box. Press Enter or click on the SEARCH icon.

For common names, such as Smith or Jones, the system may take a few moments to complete the search.

3. The system displays a list of all accounts with the required name, along with the number of accounts found.
4. To print the information displayed, click on the PRINT icon.
5. To see more information on any specific account from the list, double-click on that account.
6. To return to the list of names, click on the BACK key.
7. To return to the UPS Main Menu, click on the MAIN MENU icon.
8. To exit the CDSEARCH program, click on the EXIT icon.

### **Dollar Amount Search**

Select this search option if you want to locate property of a specific amount. You can use either the Between or the Greater Than option to search for accounts.

1. Insert the CD into the CD-ROM drive.
2. For the Between option, enter both the low end and the high end of the dollar amount in the appropriate fields, then press Enter or click on the SEARCH icon.

For the Greater Than option, enter the "floor" dollar amount of the account to be found, then press Enter or click on the SEARCH icon.

3. The system displays a list of all accounts within the required dollar amount, along with the number of accounts found.



4. To print the information displayed, click on the PRINT icon.
5. To see more information on any specific account from the list, double-click on that account.
6. To return to the list of names, click on the BACK key.
7. To return to the UPS Main Menu, click on the MAIN MENU icon.
8. To exit the CDSEARCH program, click on the EXIT icon.

### **Number of Shares Search**

Select this search option if you want to limit the scope of the search to a specific number of shares. You can use either the Between or the Greater Than option to search for accounts. Stock accounts are repeated on each CD.

1. Insert the CD into the CD-ROM drive.
2. For the Between option, enter both the low end and the high end of the share amount in the appropriate fields, then press Enter or click on the SEARCH icon.

For the Greater Than option, enter the “floor” share amount of the account to be found, then press Enter or click on the SEARCH icon.

3. The system displays a list of all accounts meeting the search parameters, along with the number of accounts found.
4. To print the information displayed, click on the PRINT icon.
5. To see more information on any specific account from the list, double-click on that account.
6. To return to the list of names, click on the BACK key.
7. To return to the UPS Main Menu, click on the MAIN MENU icon.
8. To exit the CDSEARCH program, click on the EXIT icon.

### **Issue Name Search**

Select this search option if you want to locate accounts that relate to a specific security.

1. Insert the CD into the CD-ROM drive.
2. Type the name of the security in the box, then press Enter or click on the SEARCH icon.

For common names such as Pacific or Bank, the system may take a few moments to complete the search.

3. The system displays a list of all accounts meeting the search parameters, along with the number of accounts displayed.
4. To print the information displayed, click on the PRINT icon.
5. To see more information on any specific account from the list, double-click on that account.
6. To return to the list of names, click on the BACK key.
7. To return to the UPS Main Menu, click on the MAIN MENU icon.
8. To exit the CDSEARCH program, click on the EXIT icon.

### **Holder Name Search**

Select this search option if you want to locate properties reported by a specific holder, such as a bank or a title company. You can search by both entity and remit year or by entity only.

1. Insert the CD into the CD-ROM drive.
2. Type the name of the holder in the Holder Name field, then press Enter or click on the SEARCH icon.

To obtain a listing of all the properties reported by a specific holder for a specific year, type the name of the holder and the year in the appropriate fields, then press Enter or click on the SEARCH icon.

3. The system displays a list of all accounts meeting the search parameters, along with the number of accounts found.
4. To print the information displayed, click on the PRINT icon.
5. To see more information on any specific account from the list, double-click on that account.
6. To return to the list of names, click on the BACK key.
7. To return to the UPS Main Menu, click on the MAIN MENU icon.
8. To exit the CDSEARCH program, click on the EXIT icon.

**Note:** On CD #4, there are two files, SSB.doc and Nappco.doc. These files were created with MS Word 97. They each contain a list of holder names

that were turned over to the State Controller's Office from either State Street Bank or National Abandoned Property Processing Corporation (NAPPCO). These lists provide the exact spelling of the holder names, which can be useful when you are searching for accounts that were submitted to the Controller's Office by either State Street Bank or NAPPCO.

### **Exit**

Select this option when you wish to exit the CDSEARCH program. Click on the EXIT icon.

# Accountability File Microfiche

The following descriptions will help the user evaluate the information available on the Accountability File microfiche.

## **Account Number**

If an account number is followed by the word “Holder”, the number refers to the holder reporting the property. The name, address, and contact person are listed. Account numbers without the Holder notation refer to an owner. An account that lists no owner or holder information and has a County Code of 00 is an aggregate account with no identified owner.

## **Class Code**

This code is comprised of two digits. The first digit indicates the type of holder that reported the account. The second digit indicates the type of property that escheated. See the charts in Appendix A, pages A-7 through A-9, for a complete listing of Class Codes.

## **County Code**

If the property value of the escheated account is \$50 or greater, or was \$25 or greater prior to 1997, the County Code indicates the county of the last known address of the owner. See the County Codes listing in Appendix A, page A-10.

## **State Code**

This code refers to the state of the last known address of the owner. See the State Codes listing in Appendix A, page A-11.

## **Amount Reported**

This is the amount reported by the holder. It may not be the same as the amount actually remitted for the owner.

## **Reporting Date**

This is the date of the report filed by the holder.

## **Holder**

This is the account number of the holder associated with the account.

### **Reference**

This information is confidential and is not available for publication.

### **Owner's Name(s) and Address (no heading)**

These are the names of the reported owner(s) and the last known address for the owner(s).

### **Transaction Date**

This shows the dates of any activity on the account.

### **Comments**

This area, directly to the right of the Class Code, usually contains a brief explanation of any activity on the account.

### **Receipts**

This shows the amount actually remitted for the reported account.

### **Disbursements**

This column shows the amount paid to a claimant.

### **Balance**

This is the balance of the account.

# Estates of Deceased Persons Microfiche

The following descriptions will help the user evaluate the information available on the Estates of Deceased Persons microfiche. This information applies to escheated funds from the County Treasurer's Offices.

## **Account Number**

The account number for an estate account has the suffix "E."

## **County Code**

The County Code indicates the county in which the probate process was initiated. Refer to the County Codes listing provided in Appendix A, page A10.

## **Heir Code**

This code indicates the type of estate.

01 = No known heirs

02 = Known heirs whose whereabouts are unknown

## **Amount of Probate**

This is the amount reported.

## **Probate Date**

This is the date of probate.

## **Probate Number**

This is the probate number of the county reporting the estate.

## **Decedent's Name (no heading)**

This includes the decedent's name, any aliases (AKAs), and any named heirs, if the Heir Code is 02.

## **Transaction Date**

This shows the dates of any activity on the account. The transaction date is preceded by a letter code, indicating the type of activity:

H = The date on which the property was received, the State Controller's receipt number, and first named heir, if any

C = Comment  
D = Disbursement  
I = Additional income or deposits to the account

### **Comments**

This field contains an explanation of the activity, along with any comments.

### **Receipts**

This is the amount of property received or the amount of any additional income or deposits.

### **Disbursements**

This column shows the amounts claimed and paid.

### **Balance**

This is the balance of the account.

# Abandoned Property Claims

## Standard Investigator Agreement

The investigator may not represent the owner/heir while claiming an unclaimed property account unless there is an agreement on file with the Bureau. The Bureau has developed a Standard Investigator Agreement to facilitate processing of the claim. The agreement is shown in Appendix B, pages B-2 and B-3, and may be duplicated. Please note that the Bureau will not accept the Standard Investigator Agreement/Contract Attachment unless it is accompanied by the completed claim form.

## Investigator Fees

The fees investigators may charge to cover the costs of their efforts to reunite owners with unclaimed property are stipulated in *Code of Civil Procedure* (CCP) Section 1582, which states:

*No agreement to locate, deliver, recover, or assist in the recovery of property reported under Section 1530, entered into between the date a report is filed under subdivision (d) of Section 1530 and the date of publication of notice under Section 1531 is valid. Such an agreement made after publication of notices is valid if the fee or compensation agreed upon is not in excess of ten percent (10%) of the recoverable property and the agreement is in writing and signed by the owner after disclosure in the agreement of the nature and value of the property and the name and address of the person or entity in possession of the property. Nothing in this section shall be construed to prevent an owner from asserting, at any time, that any agreement to locate property is based upon an excessive or unjust consideration.*

*Notwithstanding any other provision of law, records of the Controller's Office pertaining to unclaimed property are not available for public inspection or copying until after publication of notice of the property or, if publication of notice of the property is not required, until one year after delivery of the property to the Controller.*

The Bureau reviews all standard investigator agreements to ensure compliance with this statute.

## Agreement Provisions

All investigator agreements submitted must be in compliance with CCP Section 1582. To facilitate claim processing, the Bureau recommends the use of the agreement in Appendix B, pages B-2 and B-3. An original agreement created by an investigator and an attorney must contain all of the essential elements shown in the sample agreement. It is advisable to have a new investigator agreement reviewed by the Bureau before submitting it with a claim package.



As stated in CCP Section 1582, full disclosure of the unclaimed property account is required. Full disclosure is:

- Owner name as reported by the holder;
- Owner address as reported by the holder;
- Reported amount of the account;
- Name and address of the holder; and
- Name and address of the State Controller's Office, Bureau of Unclaimed Property.

When one claim package includes claims for several accounts, full disclosure is required for each account.

### **Agreement Required for Each Claimant**

It is not unusual for a named owner to be deceased; in which case the property may be claimed by one or by several heirs. There must be a fully executed agreement and claim form for each owner/heir entitled to the account. The Bureau must approve each agreement before the claim package can be processed.

For example, if there are five owners/heirs to an account and there is a valid agreement with two of the owners/heirs, fees will be paid based on the proportionate share due each claimant for whom there is a fully executed agreement.

### **Standardized/Non-Standardized Agreements**

Investigator agreements submitted in the standardized form are processed expeditiously. A claim package submitted with a non-standardized agreement delays the evaluation process because of the extra staff time required to analyze the agreement to ensure conformity with CCP Section 1582. If the agreement is not in conformance with the law, it will be rejected.

## **Claim Package**

A claim package is a group of documents submitted to validate a request for payment of abandoned property accounts. All claim packages are processed on a first-in first-out basis, based on the date the claim package is received by the Bureau. In order to expedite the payment of claims:

1. The claim package must include a properly executed Standard Investigator Agreement (see Appendix B, pages B-2 and B-3) for each claimant;
2. The claim package must include one completed claim form for each claimant, as indicated below. Claim forms submitted improperly will be returned to the investigator (see Appendix B, pages B-4 and B-5);

3. The claimant must execute the claim form and the claimant's signature must be notarized for cash properties of \$1,000 or more and for all stock, securities, and safe-deposit box accounts;
4. The investigator must complete and sign the claim form and agreement. Notarization is not required;
5. Documents to verify the claimant's SSN/tax identification number must be provided; an accommodation may be made for nonresidents of the United States of America.

A claim package that does not contain the necessary items to validate the claim will be returned, accompanied by a letter listing and describing the documents required for establishing proof of ownership.

## **Documentation by Property Type**

In addition to the above requirements, the following documentation, as well as other documents that may be required to substantiate the claim must be submitted according to the type of unclaimed property.

### **Savings or Checking Accounts**

Required documentation:

- Account statement;
- Bank passbook; or
- Correspondence listing account numbers.

If the account statement or passbook is unavailable, a claimant is required to show proof of residence at the address shown on the account as reported to the State Controller.

### **Stocks, Dividends, Bonds, or Debentures**

Required documentation:

- Original stock certificate;
- Original dividend check;
- Original bond;
- Original debenture; or
- Account statement.

If the original certificate is not available, the State Controller may allow payment based upon other documentation submitted by the claimant, such as verification of occupancy at the registered address, proof of purchase, or cashing or evidence of a dividend check. If warranted, the State Controller may require a lost instrument bond from the claimant.

California's Unclaimed Property Law (CCP Section 1563), requires the State Controller to sell securities within two years of delivery to the State Controller's Office. If a claimant's securities have been sold, the law no longer provides for interest to be paid on any claims.

*Note: The State Controller's Office is not authorized to buy back the claimant's shares, nor will it make up the difference in sale proceeds in the event that the market value of the stock increases between the date it was sold and the date of the claim.*

### **Life Insurance Accounts**

Required documentation:

- Insurance policy; or
- Insurance statement.

If the policy or statement is not available, a claimant is required to show proof of residence or occupancy at the address shown on the account as reported to the State Controller.

### **Escrow Accounts**

The buyer's/seller's closing statement is required documentation.

If the statement is not available, the claimant is required to show proof of residence or occupancy at the address shown on the account as reported to the State Controller.

If the account shows both buyer and seller, the escrow agreement must be provided in order to identify the proper owner.

### **Negotiable Instruments, Certified Checks, Money Orders, or Travelers Checks**

Additional documentation to needed to verify claims for negotiable instruments. Generally, the original instrument must be submitted, if it is available. If the original instrument is not available, other available documentation is required, along with a declaration of loss under Commercial Code Section 3312.

Contact the Bureau of Unclaimed Property for further instructions.

### **Safe-Deposit Box Contents**

Required documentation:

- Account statement; or
- Safe-deposit box key.

If the statement or key is not available, proof of residence or occupancy at the address shown on the account is required. If proof of residence is not available or if the reporting agency did not report an account owner's last known address, evidence must be submitted proving an association with the reporting agency.

California's Unclaimed Property Law requires the State Controller to sell the contents of safe-deposit boxes if the contents appear to have monetary value; all other safe-deposit box contents (e.g., wills, statements, letters, and deeds) are destroyed. Proceeds from the sale are used to satisfy any bank liens. Remaining proceeds are credited to the owner's account until a claim is presented. The law does not provide for interest to be paid on any claims. In the event that the contents of a safe-deposit box are not sold and a claim is presented, the State Controller, upon proof of ownership, returns the property by insured/registered mail after the claimant pays any liens on the safe-deposit box.

If lien amounts are owed to the bank at the time of escheatment, that information is reported to the State Controller's Office. Liens are paid to the bank 1) when cash is found in the box, 2) with proceeds from sale of safe deposit box contents, or 3) by the claimant when ownership has been verified. In such instances, the claimant submits payment for the lien to the State Controller's Office by a cashier's check or money order payable to the appropriate banking institution. The State Controller's Office will forward it to the bank.

### **Business Accounts**

Business accounts, such as vendor checks, accounts receivable credit balances, and rebates, can be claimed by providing:

1. A completed and signed affirmation page;
2. A Letter of Authorization including the names of officers or officials with the authority to sign and claim on behalf of the business;
3. A copy of a current photo identification for the authorized officer or official claiming on behalf of the business;
4. A business card of the authorized officer or official;
5. Proof of the business' federal tax identification number;
6. Proof of the business' association with the last reported known address;
7. Proof of the business' association with the holder; and
8. If the company merged with another company, a copy of all merger agreements, which may include partnership information;
9. If the company was dissolved, a copy of the Articles of Dissolution;
10. If the company was suspended, a Tax Clearance Letter or a Letter of Good Standing from the Franchise Tax Board and/or the Secretary of State's Office.

The claim must be notarized if it is over \$1,000 or is for stock or mutual funds. Note that stock claims take longer to process than do other claims.

### **Corporations/Business Entities/Partnerships**

Business accounts, such as vendor checks, accounts receivable credit balances, and rebates can be claimed by providing:

- Evidence that the corporation is in good standing with the Secretary of State's Office. A statement of corporate standing can be obtained from the Business Programs Division, Business Filing Section, Secretary of State's Office, 1500 11th Street, Sacramento, CA 95814;
- A tax return or a copy of a currently dated document indicating the tax identification number for company. An affidavit indicating tax identification number, signed by an officer of the company, is not adequate verification of the tax identification number;
- Letterhead or a business card for an authorized officer of the company;
- If the company has been dissolved or merged, evidence of all mergers, which may include partnership agreements, copies of merger agreements or articles of incorporation, and dissolution and wind-up documents; or
- Final tax return showing distribution of assets.

If the items listed above are not available, then claimants are required to show proof of residence or occupancy at the address shown on the account as reported to the SCO. Other documents may be required to establish proof of ownership.

### **Governmental Agency Accounts**

Agency accounts, such as vendor checks and accounts receivable credit balances can be claimed by providing:

1. A completed and signed affirmation page;
2. A Letter of Authorization including the names of officers or officials with the authority to sign and claim on behalf of the business;
3. A copy of a current photo identification for the authorized officer or official claiming on behalf of the company;
4. A business card of the authorized officer or official;

5. Proof of the business' tax identification number number;
6. Proof of the business' association with the last known address; and
7. Proof of the business' association with the holder;

Other documents may be required if the account is in the name of more than one owner.

### **Miscellaneous Accounts**

Other types of accounts can be claimed by providing documentation associating the owner with the account. If proof of residence/occupancy or last known address is not available, documentation associating the claimant with the reporting agency must be submitted.

## **Deceased Owners**

If the owner of the account is deceased and an heir or administrator of the estate is claiming the property, the State Controller requires the claimant to provide the following documents or groups of documents:

- A completed and signed affirmation page;
- The death certificate of the deceased owner or owners of the property;
- A copy of the current photo identification of each heir/claimant;
- Proof of the Social Security Number of each heir/claimant;
- Proof associating the reported owner with the last known address;
- Proof associating the reported owner with the reporting company; and,
- If probate of the estate is open, the estate tax identification number and a copy of the Currently Certified Letters Testamentary, dated within six months, appointing the executor or administrator of the estate.

### **OR**

If probate of the estate is closed, the estate tax identification number and a complete copy of the Court Ordered Distribution of the estate.

### **OR**

If the distribution of the estate was not ordered by a court, a complete copy of the decedent's will and a completed Declaration Under Probate Code 13101 (see Appendix B, page B-6).

**OR**

A complete copy of the Trust Agreement and a copy of a document including the trust tax identification number, such as a tax return or a bank statement.

**OR**

If no will or Trust Agreement is available, a completed Declaration under Probate Code 13101 and a Table of Heirship (see Appendix B, page B-7).

The claim must be notarized if it is over \$1,000 or is for stock or mutual funds. Note that stock claims take longer to process than do other claims.

**Social Security Verification**

The reported Social Security Number of the owner of the account can be verified by providing a copy of one of the following:

- Social Security card
- Old income tax return
- W-2 form
- Pay voucher or pay stub

**Unacceptable Documentation**

Copies of old telephone directories and statements from landlords or previous neighbors are not acceptable as documentation to verify the address reported by the holder.

**Non-English Documents**

If the document submitted to substantiate the claim is not in English, the entire document must be translated. The translation must immediately follow the documentation.

The translation must be authenticated. If the document is translated at an embassy, the seal of the embassy must be affixed to the translation as authentication. If the document is translated at a college or university where the language is taught, the translation must be written or printed on letterhead of the institution and must be signed by the instructor who translated it.

**Organized,  
Referenced and  
Indexed Files**

Documentation to substantiate complex claims should be organized, referenced, and indexed to facilitate the Bureau's evaluation of the claim package. A package submitted with documentation that is not organized, referenced, and indexed may be returned to the investigator; they may be resubmitted once all requirements are met. It is the Bureau's policy to process claims in a timely manner; properly assembled claim packages expedite the claim process.

## Multiple Claims and Confidential Information

It occasionally happens that two investigators submit a claim on the same account. When two investigators submit an agreement with the same individual, the Bureau notifies both of the investigators and the claimant. The claimant must designate one investigator to represent his/her claim request and must notify the other investigator of the choice. The Bureau is unable to continue with the claim process until this issue is resolved. In such instances, all information submitted by either investigator regarding the claim is strictly confidential.

## Submitting a Claim Package

A claim package may be submitted to the Bureau of Unclaimed Property by any of the following methods:

***U.S. Mail*** – Sent to the following address:

State Controller's Office  
Division of Collections  
Bureau of Unclaimed Property  
Consumer Services Unit  
P. O. Box 942850  
Sacramento, CA 94250-5873

***Expedite/Overnight Delivery*** – Delivered to the street address given below.

***Delivery in Person*** – Delivered to the following address:

State Controller's Office  
Division of Collections  
Bureau of Unclaimed Property  
3301 C Street, Suite 712  
Sacramento CA 95816

## Claim Status

The Bureau of Unclaimed Property approves or denies a claim package within 180 days of receipt of all documentation that substantiates the claim. The documents/documentation, claim forms, and agreements are analyzed for compliance with the Unclaimed Property Law and to ensure that the documentation substantiates the claim. One of the following status codes is assigned to each claim package:

**A. Established**

The claim package has been received.

**B. Approved**

The claim package has been approved, and the claim will be processed for payment.

**C. Closed**

The claim package has a deficiency in one or more of the following areas:



- ***Claim Form*** – The claim form is incomplete or is not signed and notarized.
- ***Investigator Agreement*** – The agreement is incomplete or is not in compliance with CCP Section 1582.
- ***Documentation*** – The documentation is incomplete or is incorrect.

An investigator may reopen a closed claim by submitting an updated standard investigator agreement, a yellow claim form, and all documentation required to validate the claim request.

#### **D. Denied**

The Bureau notifies the investigator, in writing, if the documentation submitted indicates that:

- The person claiming the account is not the correct owner/heir of the property;
- The claim is already in process; or,
- The account was previously paid.

In this case, the entire claim package is returned to the investigator. The investigator is also notified if he or she failed to submit additional documents as requested by the Bureau.

## **Payment of Claims**

Investigator claims are paid according to the procedures listed below. The Bureau may consider exceptions in extenuating circumstances but only upon the written request of the claimant or the investigator.

1. The payment is recorded against the claimant's Social Security or tax identification number on the Bureau's computer database.
2. Any IRS 1099 forms mailed to the Internal Revenue Service are recorded against the claimant's Social Security Number or federal tax identification number.
3. The warrant and/or securities are issued in the name of the claimant and are mailed to the investigator.
4. Whenever the claimant/heir resides in a foreign country, special processing of the payment may be considered.
5. The payment of the investigator's maximum ten percent (10%) fee must be resolved by the claimant and the investigator.

## **Report of Interest Income**

Beginning in August of 2003, the Unclaimed Property Law no longer provides for interest to be paid on any claims. However, for claims paid or approved prior to July 21, 2003, the State Controller is required to issue a 1099 statement indicating the amount of interest paid to an owner of unclaimed property.

# **Estates of Deceased Persons (Escheated Funds from County Treasurer's Offices)**

## **Estates with Named Heirs**

The named legatee can claim the entire amount of the estate without court action on the Bureau's claim form (see Appendix B, page B-9) (Code of Civil Procedure Section 1352). Heirs of the legatee can claim \$60,000 or less on the Bureau's claim form without court action; if the amount is over \$60,000, the claimant must file a petition under CCP Section 1355. If the decedent died before June 8, 1982, the petition must include a stipulation for the deduction of any inheritance tax due.

## **Estates without Named Heirs**

Heirs can file claims for \$60,000 or less on the Bureau's claim form (see Appendix B, page B-10) (CCP Section 1352).

For claims of \$60,000 or more, the claimant must file a petition in the superior court of any city or county in which the Attorney General has an office (San Diego, Sacramento, San Francisco, or Los Angeles). If the decedent died before June 8, 1982, the petition must include a stipulation for the deduction of any inheritance tax due.

Before the matter is scheduled for hearing, the claimant must send the petition and claim package to the Bureau for a review of the merits of the claim. (See CCP Section 1355 for documentation required.)

## **Claim Package**

A claim package is a group of documents submitted to validate a request for payment of an estate of a deceased person. All claim packages are processed on a first-in first-out basis, based on the date the claim package is received by the Bureau. In order to expedite the payment of claims, the procedures below should be followed:

1. There must be a properly executed Standard Investigator Agreement - Estates (See Appendix B, page B-9) for each claimant.
2. The claimant must execute the claim form, and the claimant's signature must be notarized. Claim forms that are submitted improperly are returned to the investigator.
3. The investigator must execute the claim form as well; notarization is not required.
4. The claimant must provide a birth certificate and current identification to verify the birth date, such as a driver's license or ID card.
5. The decedent's Certificate of Death must be provided.

6. The Final Decree of Distribution for a decedent's estate must be provided.

It may also be necessary to submit documents showing how each claimant is related to the decedent, such as birth, marriage, or death certificates; census reports; genealogy charts; and/or Applications for Social Security Account Number (SS-5).

## **Organized, Referenced, and Indexed Files**

Documentation substantiating complex claims should be organized, referenced, and indexed to facilitate the Bureau's evaluation of the claim package. A package submitted with documentation that is not organized, referenced, and indexed may be returned to the investigator; it may be resubmitted once all requirements are met. It is the Bureau's policy to process claims in a timely manner; properly assembled claim packages expedite the claim process.

## **Multiple Claims and Confidential Information**

When more than one investigator submits a claim on the same estate and the degree of relationship is the same, the Bureau notifies each investigator of the other's claim and gives them 30 days to submit documents. When two investigators submit an agreement with the same individual, the Bureau notifies both of the investigators and the claimant. The claimant must designate one investigator to represent his/her claim request, and must notify the other investigator of the choice. The Bureau is unable to continue with the claim process until the issue is resolved. In such instances, all information submitted by either investigator regarding the claim is strictly confidential.

## **Standard Investigator Agreement - Estates**

The investigator may not represent the owner/heir while claiming an estate of a deceased person account unless there is an agreement on file with the Bureau. The Bureau has developed a Standard Investigator Agreement - Estates to facilitate processing of the claim package. The agreement is shown on Appendix B, page B-9, and may be duplicated.

### **Agreement Required for Each Claimant**

There must be a fully executed agreement for each owner/heir entitled to the account. The Bureau must approve each agreement before the claim package can be processed.

Payment of investigator fees is the responsibility of the claimants. The Bureau merely monitors the fees the investigator charges.

### **Standardized/Non-Standardized Agreements**

Investigator agreements submitted in the standardized form are processed expeditiously. A claim package submitted with a non-standardized agreement delays the evaluation process because of the extra staff time

required to analyze the agreement to ensure conformity to the law governing the payment of estates of deceased persons. If the agreement is not in conformance with the law, it is rejected.

## **Submitting a Claim Package**

A claim package may be submitted to the Bureau of Unclaimed Property by any of the following methods.

***U.S. Mail*** – Sent to the following address:

State Controller's Office  
Division of Collections  
Bureau of Unclaimed Property  
Consumer Services Unit  
P. O. Box 942850  
Sacramento, CA 94250-5873

***Expedite/Overnight Delivery*** – Delivered to the street address given below.

***Delivery in Person*** – Delivered to the following address:

State Controller's Office  
Division of Collections  
Bureau of Unclaimed Property  
3301 C Street, Suite 712  
Sacramento CA 95816

## **Claim Status**

The Bureau of Unclaimed Property approves or denies a claim package within 180 days of receipt of all documentation substantiating the claim. The Bureau analyzes the documents/documentation, claim form, and agreements for compliance with its guidelines and to ensure that the documentation substantiates the claim.

The Bureau notifies the investigator, in writing, if:

- The claim form is incomplete or not signed and notarized;
- The Investigator Agreement is incomplete or not in compliance with the Bureau's guidelines;
- The person claiming the account is not the correct heir of the property. In this case, the entire claim package is returned to the investigator;
- The claim is already in process; or,
- The account was previously paid.

The Bureau also notifies the investigator if he or she failed to submit documentation to clearly substantiate relationship to the decedent.

An investigator may reopen a closed claim by submitting an updated standard investigator agreement, a blue claim form, and all required documentation to validate the claim request.

## **Payment of Claims**

Investigator claims are paid according to the procedures below. Exceptions may be considered in extenuating circumstances but only upon the written request of the claimant or the investigator.

1. The payment in the form of a warrant is issued in the name of the claimant and is mailed to the investigator.
2. The payment of the investigator's fee is an issue to be resolved by the claimant and the investigator.
3. Pursuant to CCP Section 1321, no owner of unclaimed property is entitled to receive interest on the property after the date on which the property is reported to the State Controller, whether or not he or she was entitled to such interest prior to such report.

# Appendix A

# Property Type Codes

Property Code	Property Classification
01	Cash in lieu of fractional shares
02	Units
03	Debentures or bonds
04	Dividends
05	IRAs - securities
06	Liquidating funds - securities
07	Municipal bonds
08	Mutual funds/money market funds
09	Mutual fund earnings/money market fund earnings
10	Shares exchanged for shares
11	Securities
12	Securities exchanged for cash
13	Warrants
14	Rights
15	Liquidating fund earnings
16	Municipal bond earnings
17	Bond interest
25	Aggregate account
26	Money orders
27	Travelers checks
28	Cashier's/certified checks
41	Safe-deposit box contents
42	Safekeeping items
43	Savings bonds
55	Annuities
56	Checking accounts/demand deposits
57	Christmas club accounts
58	Collections
59	Commissions
60	Court settlements



<u>Property Code</u>	<u>Property Classification</u>
61	Credit balances
62	Death benefits
63	Endowments
64	Escrow checks/deposits
65	Garnishments
66	Gift certificates
67	Inmate trust funds
68	Insurance claims checks
69	Insurance premiums
70	Interest checks
71	IRAs
72	Layaway deposits
73	Liquidating funds
74	Matured/terminated policies
75	Mineral proceeds
76	Other
77	Patient trust funds
78	Pension/retirement funds
79	Refunds
80	Royalties/residuals
81	Salaries/wages
82	Savings accounts/credit union share accounts
83	Time deposits/CD accounts
84	Trusts
85	Vendor payments

# Ownership Codes

Abbreviation	Definition
ADMIN	Administrator
AGENT	Agent
AKA	Also known as
AKA DECD	Also known as deceased
AKA EST	Also known as estate of
AKA ITF	Also known as in trust for
AKA TR	Also known as trustee
ANTNT	Annuitant
ASSIGNEE	Assignee
ATF	As trustee for
ATTY/F	Attorney for
BENF	Beneficiary
BORROWER	Borrower
BUYER	Buyer
COCONS	Co-conservator
CONS	Conservator
CO-OWNER	Co-owner
COTR	Co-trustee
CP	Community property
CT/ORD (MM/DD/CCYY)	Court order dated 10/18/1989
CT/OR GDN (MM/DD/CCYY)	Court order guardian 10/18/1989
CUST	Custodian
DEBT/AD	Debtor ad litem
DEBT/FOR	Debtor for
DEBT/IN	Debtor in
DEBT/OF	Debtor of
DECD	Deceased
DECD INS	Deceased insured
DECD/TR	Deceased trustee
DECD TUW (MM/DD/CCYY)	Deceased trustee under will of 10/04/1980

Abbreviation	Definition
DBA	Doing business as
DBA EST	Doing business as estate
DBA PAYEE	Doing business as payee
DEPEND	Dependant
EPSP MM/DD/CCYY	Employee profit sharing plan 10/04/1980
EPT (MM/DD/CCYY)	Employee pension trust 10/04/1980
EST	Estate
EST BENF	Estate beneficiary
EST PAYEE	Estate payee
EST TR	Estate trustee
EUA (MM/DD/CCYY)	Estate under agreement 10/04/1980
EXEC	Executor
EXEC UWEE	Executor under the will of
FBO	For benefit of
GDN	Guardian
GDN AD LT	Guardian ad litem
GDN EST	Guardian estate
GDN TR	Guardian trustee
HEIR	Heir
ITF	In trust for
INCPT EST	Incompetent estate
INS	Insured
JT	Joint tenant
J/TR	Joint trustees
JTUA (MM/DD/CCYY)	Joint tenant under agreement 10/04/1980
JT WROS	Joint tenant writ of survivorship
LF/TN UW	Life tenant under the will of
MINOR	Minor
MINOR EST	Minor estate
MINOR TR	Minor trustee
NAT GDN	Natural guardian
OWN/AND	More than one owner - "and"
OWN/OR	More than one owner - "or"
OWNER	Owner

Abbreviation	Definition
PATIENT	Patient
P/ATTY	Power of attorney
PAYEE	Payee
# PAYEE <sup>1</sup>	1st payee, 2nd payee, etc. (use numbers only)
PF (MM/DD/CCYY)	Pension fund 10/04/1980
POD	Payable on death
PPSP (MM/DD/CCYY)	Pension and profit sharing plan 10/04/1980
PPT (MM/DD/CCYY)	Pension plan and trust 10/04/1980
PSP (MM/DD/CCYY)	Profit sharing plan (trust) 10/04/1980
PURC	Purchaser
REC	Receiver
REV TR (MM/DD/CCYY)	Revocable trust 10/04/1980
RT	Retirement trust
RTUA (MM/DD/CCYY)	Retirement trust under agreement 10/04/1980
SELLER	Seller
SUC COTR	Successor co-trustee
SUC TR	Successor trustee
TC	Tenants in common
TR	Trustee
TR PAYEE	Trustee payee
TUA (MM/DD/CCYY)	Trustee under agreement 10/04/1980
TUA FBO (MM/DD/CCYY)	Trustee under agreement for benefit of 10/04/1980
TUW (MM/DD/CCYY)	Trustee under will of 10/04/1980
UGMA CA <sup>2</sup> (MM/DD/CCYY)	Uniform Gift to Minors Act CA 10/04/1980
WROS	Writ of survivorship

<sup>1</sup> Can be any number (1 payee, 2 payee, 3 payee)

<sup>2</sup> Can be blank or any of the 50 states' two-character code

## State Codes

Initial	State	Initial	State
AL	Alabama	MT	Montana
AK	Alaska	NC	North Carolina
AR	Arkansas	ND	North Dakota
AZ	Arizona	NE	Nebraska
CA	California	NH	New Hampshire
CO	Colorado	NJ	New Jersey
CT	Connecticut	NM	New Mexico
DC	District Of Columbia	NV	Nevada
DE	Delaware	NY	New York
FL	Florida	OH	Ohio
GA	Georgia	OK	Oklahoma
HI	Hawaii	OR	Oregon
IA	Iowa	PA	Pennsylvania
ID	Idaho	RI	Rhode Island
IL	Illinois	SC	South Carolina
IN	Indiana	SD	South Dakota
KS	Kansas	TN	Tennessee
KY	Kentucky	TX	Texas
LA	Louisiana	UT	Utah
MA	Massachusetts	VA	Virginia
ME	Maine	VT	Vermont
MD	Maryland	WA	Washington
MI	Michigan	WI	Wisconsin
MN	Minnesota	WV	West Virginia
MO	Missouri	WY	Wyoming
MS	Mississippi		

# Class Codes as of July 1, 1985

Type of Organization		Type of Intangible Property	
Banking Organizations	Code 1	0	Demand Deposits
		1	Savings Deposits and Interest
Savings and Loans	Code 2	2	Money Orders and Travelers Checks
Credit Unions	Code 2	3	Drafts, Certified Checks, Christmas Club
Loan Companies	Code 2		Checks, Cashier's Checks
		4	Contents of Safe-Deposit Boxes and Safekeeping Items
		5	Trust Deposits (Escrow)
		6	Liquidating Funds
		7	Earnings Due Shareholder, Dividends
		8	Shares of Stock
		9	Miscellaneous Funds - Wages, Refunds, Accounts Payable, Collections, etc.
Business Associations	Code 3	0	Demand Deposits
Title Companies - Escrows	Code 3	1	Savings Deposits and Interest
Escrow Companies	Code 3	2	Money Orders and Travelers Checks
Collection Agencies	Code 3	3	Drafts, Certified Checks, Christmas Club
Credit Bureaus	Code 3		Checks, Cashier's Checks
Insurance Companies	Code 3	4	Contents of Safe-Deposit Boxes and Safekeeping Items
(Other than Life Insurance)		5	Trust Deposits (Escrow)
Utilities	Code 3	6	Liquidating Funds
		7	Earnings Due Shareholders - Dividends
		8	Shares of Stock
		9	Miscellaneous Funds - Wages, Refunds, Accounts Payable, Collections, etc.
Life Insurance Companies	Code 4	1	Matured or Terminated Policies
		2	Policyholders' Dividends
		3	Premium Refunds Returned
		6	Liquidating Funds
		7	Earnings Due Shareholders - Dividends
		8	Shares of Stock
		9	Miscellaneous Funds - Commissions, Wages, Accounts Payable, etc.
Public Offices and Agencies	Code 5	9	All Intangible Personal Property, Courts, Other Holders, etc.

## Class Codes prior to July 1, 1985

Type of Organization		Type of Intangible Property	
Banking Organizations	Code 1	0	Demand Deposits
Financial Organizations	Code 2	1	Savings Deposits and Interest
Savings and Loans	Code 2	2	Money Orders and Travelers Checks
		3	Drafts, Certified Checks, Christmas Club Checks, Cashier's Checks
		4	Contents of Safe-Deposit Boxes and Safekeeping Items
Business Associations	Code 3	5	Trust Deposits
Mortgage Companies	Code 3	6	Liquidating Funds
Convalescent Homes	Code 3	7	Earnings Due Shareholder - Dividends
Title and Escrow Companies	Code 3	8	Shares of Stock
Collection Agencies	Code 3		
Credit Bureaus	Code 3		
		9	Miscellaneous Funds - Wages, Refunds, Accounts Payable, Royalties, etc.
Life Insurance Companies	Code 4	1	Matured or Terminated Policies - Annuities, Endowments, Surrenders, Death Benefits
		2	Policyholders' Dividends or Proceeds
		3	All Refunds
		6	Liquidating Funds
		7	Earnings Due Shareholders - Dividends
		8	Shares of Stock
		9	Miscellaneous Funds - Wages, Accounts Payable, Commissions, A/H Claims, etc.
Public Offices and Agencies	Code 5	9	All Intangible Personal Property
Utilities:	Code 6	5	Trust Deposits (Escrow)
Telephones		6	Liquidating Funds
Water		7	Earnings Due Shareholder - Dividends
Natural Gas		8	Shares of Stock
Electric		9	Miscellaneous Funds - Wages, Refunds, Accounts Payable, Collections, etc.
Insurance Companies (Other than Life Insurance)	Code 7	1	Terminated Policies
		2	Policyholders' Dividends or Proceeds
		3	Premium Refunds Returned
		6	Liquidating Funds
		7	Earnings Due Shareholders - Dividends
		8	Shares of Stock
		9	Miscellaneous Funds - Wages, Accounts Payable, Commissions, etc.

Type of Organization		Type of Intangible Property	
Credit Unions	Code 8	1	Savings Deposits and Interest
Loan Companies	Code 8	2	Money Orders and Travelers Checks
		3	Drafts, Certified Checks, Christmas Club Checks, Cashier's Checks
		6	Liquidating Funds
		9	Miscellaneous Funds

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## County Codes

Code	County	Code	County	Code	County
0	<sup>3</sup>	21	Marin	42	Santa Barbara
1	Alameda	22	Mariposa	43	Santa Clara
2	Alpine	23	Mendocino	44	Santa Cruz
3	Amador	24	Merced	45	Shasta
4	Butte	25	Modoc	46	Sierra
5	Calaveras	26	Mono	47	Siskiyou
6	Colusa	27	Monterey	48	Solano
7	Contra Costa	28	Napa	49	Sonoma
8	Del Norte	29	Nevada	50	Stanislaus
9	El Dorado	30	Orange	51	Sutter
10	Fresno	31	Placer	52	Tehama
11	Glenn	32	Plumas	53	Trinity
12	Humboldt	33	Riverside	54	Tulare
13	Imperial	34	Sacramento	55	Tuolumne
14	Inyo	35	San Benito	56	Ventura
15	Kern	36	San Bernardino	57	Yolo
16	Kings	37	San Diego	58	Yuba
17	Lake	38	San Francisco	98	<sup>4</sup>
18	Lassen	39	San Joaquin	99	<sup>5</sup>
19	Los Angeles	40	San Luis Obispo		
20	Madera	41	San Mateo		

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<sup>3</sup> Usually indicates an aggregate account with no identified owners, which cannot be claimed without exact documentation to claim a portion of the account.

<sup>4</sup> Indicates the account owner is a well-known entity.

<sup>5</sup> Indicates the account is less than \$50 and therefore is not required to be published.

# Accountability File State Codes

Code	State	Code	State
00	California	26	Nebraska
01	Alabama	27	Nevada
02	Alaska	28	New Hampshire
03	Arizona	29	New Jersey
04	Arkansas	30	New Mexico
05	Colorado	31	New York
06	Connecticut	32	North Carolina
07	Delaware	33	North Dakota
08	Florida	34	Ohio
09	Georgia	35	Oklahoma
10	Hawaii	36	Oregon
11	Idaho	37	Pennsylvania
12	Illinois	38	Rhode Island
13	Indiana	39	South Carolina
14	Iowa	40	South Dakota
15	Kansas	41	Tennessee
16	Kentucky	42	Texas
17	Louisiana	43	Utah
18	Maine	44	Vermont
19	Maryland	45	Virginia
20	Massachusetts	46	Washington
21	Michigan	47	West Virginia
22	Minnesota	48	Wisconsin
23	Mississippi	49	Wyoming
24	Missouri	50	District of Columbia
25	Montana	55	Out of Country

# **Appendix B**

## REQUEST FOR UNCLAIMED PROPERTY RECORDS

**Please indicate selected items by marking the appropriate box.**

	<b>CD-ROM – NOVEMBER 2005 RELEASE</b>	<b><u>Price</u></b>
<input type="checkbox"/>	<b><u>CD-ROM</u></b> The CD-ROM is a set of four CDs that contain abandoned property account information pursuant to CCP Section 1500 et seq. that was received from banks, savings and loans, credit unions, and retailers. The CDs contain cash accounts posted to the Unclaimed Property System database from 1975 through 2004, and securities accounts from 1975 through 2004.	\$70.00
<input type="checkbox"/>	<b><u>ALPHA FILE - Microfiche</u></b> Contains an alphabetical list of owners of abandoned property and the decedents and heirs of estates of deceased persons posted to the Accountability File and the Estates of Deceased Persons Accountability File databases. The period covered for the data begins in 1975 and ends June 2005 for Estates, and October 2004 for Abandoned Property. This file contains ONLY the names of those accounts that are listed in the Accountability File and in the Estates File.	\$ 20.00
<input type="checkbox"/>	<b><u>ACCOUNTABILITY FILE - Microfiche</u></b> Contains abandoned property account information, remitted pursuant to CCP Section 1500 et seq., that was received from banks, savings and loans, credit unions, and retailers. This file contains data from 1975 through October 2004 for Abandoned Property. A limited number of reports are still being posted to this file for securities accounts. The last posting to this file was July 2005. This file is updated periodically.	\$144.00
<input type="checkbox"/>	<b><u>ESTATES OF DECEASED PERSONS FILE - Microfiche</u></b> Estates are remitted by private and public administrators. The period covered for the data includes accounts received from 1975 through June 2005. This computer file contains all estate accounts remitted pursuant to CCP Section 1300 et seq. This file is updated periodically.	\$ 4.00
<input type="checkbox"/>	<b><u>INVESTIGATOR HANDBOOK</u></b> Contains the Investigator Handbook and claim forms for abandoned property claims.	\$ 50.00
<input type="checkbox"/>	<b><u>PLEASE INCLUDE DELIVERY CHARGE</u></b> <b>Overnight delivery \$12.00. Regular delivery \$3.25</b> <b>(International Overnight Delivery is NOT available)</b>	\$

**TOTAL AMOUNT ENCLOSED \$ \_\_\_\_\_**

### ***“NO REFUNDS OR EXCHANGES”***

Send the completed order form, along with a money order, cashier's or personal check, (there will be a 14-day delay on orders paid by personal check) to:

Controller of the State of California  
 Division of Collections  
 Bureau of Unclaimed Property  
 P.O. Box 942850  
 Sacramento, CA 94250-5873

I hereby certify these records will not be sold, duplicated, or loaned to anyone, and these records will not be used for bulk mailing.

COMPANY NAME: \_\_\_\_\_ ATTENTION: \_\_\_\_\_

STREET/P.O. BOX: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

DATE: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_ PHONE NUMBER: (     ) \_\_\_\_\_

## Standard Investigator Agreement

### I.

This agreement into by and between \_\_\_\_\_, hereinafter referred to as "Claimant," and \_\_\_\_\_, hereinafter referred to as "Investigator."

### II.

The Investigator through his/her efforts has located Claimant, who may be entitled to the assets in the possession of the State Controller of California, 3301 C Street, Suite 712, Sacramento, CA 95816 (Mailing Address: P.O. Box 942850-5873) as described below:

OWNER'S NAME: \_\_\_\_\_

OWNER'S ADDRESS AS REPORTED TO THE STATE CONTROLLER'S OFFICE: \_\_\_\_\_

REPORTED BY: \_\_\_\_\_

TYPE OF ACCOUNT: \_\_\_\_\_ AMOUNT: \_\_\_\_\_ PROP REF NBR: \_\_\_\_\_

SECURITIES: \_\_\_\_\_ PROPERTY ID NO: \_\_\_\_\_

☐

\_\_\_\_\_  
Claimant's Initials **(CHECK HERE IF THERE ARE ATTACHMENTS LISTING ADDITIONAL ACCOUNTS)**

### III.

Investigator and Claimant do hereby agree that in consideration of Investigator's efforts in locating Claimant and assisting in the actual recovery of the above-described assets to which Claimant may be entitled, Claimant hereby agrees to pay the Investigator no more than ten percent (10%) of the net assets which Claimant in fact recovers. Claimant agrees that the investigator fee will be paid upon payment of the claim.

Agreed percentage (if less than 10%) \_\_\_\_\_ Claimant's Initials \_\_\_\_\_ Investigator's Initials \_\_\_\_\_

### IV.

If the Investigator fails to disclose the nature and value of the property prior to the execution of this agreement, and Investigator and Claimant agree that if the existence and whereabouts of the above-described assets are known to the Claimant, and the Claimant believes that said assets would have been recovered without the information and advice given by the Investigator, then Claimant is under no obligation to Investigator.

### V.

Investigator and Claimant agree that in the event Claimant is not entitled to assets described above and such assets are not recovered, there is no obligation on either party to the other, all expenses being borne by the Investigator.

### VI.

This agreement is valid for six (6) months from the date signed by the Claimant. This agreement must be notarized by the Investigator.

Investigator: \_\_\_\_\_ Daytime Phone: \_\_\_\_\_

Investigator License #: \_\_\_\_\_ Date: \_\_\_\_\_

Address: \_\_\_\_\_

Investigator's Signature: \_\_\_\_\_

Investigator's Social Security Number or Tax Identification Number: \_\_\_\_\_

Claimant: \_\_\_\_\_ Daytime Phone: \_\_\_\_\_

Address: \_\_\_\_\_ Date: \_\_\_\_\_

Claimant's Signature: \_\_\_\_\_

Claimant's Social Security Number or Tax Identification Number: \_\_\_\_\_

## Standard Investigator Agreement/Contract Attachment

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

STEVE WESTLY	CLAIM FOR FORGOTTEN ACCOUNTS	
CONTROLLER OF CALIFORNIA BUREAU OF UNCLAIMED PROPERTY P.O. BOX 942850 SACRAMENTO, CA 94250-5873		
<b>SECTION I DESCRIPTION OF FUNDS, ETC., DUE OWNERS</b>		
<b>DATE</b>	<b>INQUIRY #</b>	<b>CONTROLLER'S ACCOUNT NUMBER</b>
<div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div> <div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div>	<div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div> <div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div>	<div style="background-color: #f2f2f2; width: 100%; height: 40px; margin: 10px auto;"></div>
<b>HOLDER:</b>		
<b>SECTION II REQUIRED PROOF MUST BE RETURNED WITH THIS FORM</b>		
The following items checked must be returned with this form in support of your claim. If any item(s) are not submitted, your claim package will be returned. You may reopen this file by returning the claim form and all required documentation to this office.		
1. ( )	NOTARIZATION REQUIRED - If claim amount is over \$1,000, a stock or security property	
2. ( )	This claim form is to be signed by claimant	
3. ( )	Original savings account passbook or statement for acct. no.	
4. ( )	Checking account statement for account no.	
5. ( )	Original	Amount
6. ( )	Original securities certificate(s) for	shares of
(OR IF CONFISCATED BY TRANSFER AGENT OR SOLD, SUBMIT EVIDENCE OF THE TRANSACTION).		
7. ( )	Document verifying owner's address was once	
8. ( )	Will and currently certified (within the last 6 months) Letters Testamentary appointing administrator and/or executor (open estate) or certified copy of Final Decree of Distribution (closed estate) for the estate of	
9. ( )	If the estate was not probated, please execute the enclosed Declaration Under Probate Code Section 13101 and Table of Heirship (Table of Heirship must be completely filled out and notarized).	
10. ( )	CERTIFICATE of for	
11. ( )	Birth, death and/or marriage certificate associating claimant(s) with owner of account.	
12. ( )	Provide copy of document verifying your identity (i.e., driver's license, ID card)	
13. ( )	Provide copy of document verifying your Social Security number or, if business, tax ID number.	
14. (X)	ALL CLAIMANTS MUST COMPLETE SECTIONS III, V AND VII ON REVERSE.	
15. (X)	ALL INVESTIGATORS/HEIRFINDERS MUST COMPLETE SECTIONS IV AND V.	
16. (X)	After initial review, additional documents may be required.	
ANALYST APPROVED:		Date:
SUPV./MGR. APPROVED:		Date:
ADMIN. APPROVED:		Date:
CE-1 REV. 01/01/2004 <span style="float: right;">Page 1 of 2</span>		

<b>SECTION III</b>				<b>CURRENT MAILING ADDRESS (TO BE COMPLETED BY ALL CLAIMANTS)</b>			
(1) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ( )				
STREET ADDRESS	CITY	STATE	ZIP CODE				
(2) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ( )				
STREET ADDRESS	CITY	STATE	ZIP CODE				
<b>SECTION IV</b>				<b>CURRENT MAILING ADDRESS (TO BE COMPLETED BY ALL AGENTS, PERSONAL REPRESENTATIVE, INVESTIGATORS, EXECUTORS, ETC)</b>			
(1) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ( )				
STREET ADDRESS	CITY	STATE	ZIP CODE				
<b>SECTION V</b>				<b>NOTICE TO CLAIMANT: INVESTIGATOR OR FINDER FEES</b>			
<p><b>Under Section 1582 of the California Code of Civil Procedures (stated below), an investigator is <u>not allowed</u> to charge a fee of more than 10% of the recovered amount.</b></p> <p>CCP Section 1582 (Restriction on agreement to locate reported property)</p> <p>No agreement to locate, deliver, recover, or assist in recovery of property reported under Section 1530 may be executed within twelve months of the date payment or delivery is made to the State Controller. The fee or compensation agreed upon may not exceed 10 percent of the recoverable property. The agreement must be in writing and signed by the owner after disclosure in the agreement of the nature and value of the property and the name and address of the person or entity in possession of the property. Nothing in this section shall be construed to prevent an owner from asserting, at any time, that an agreement to locate property is based upon excessive or unjust consideration.</p>							
CLAIMANT'S SIGNATURE:			DATE:				
CLAIMANT'S SIGNATURE:			DATE:				
REPRESENTATIVE'S SIGNATURE:			DATE:				
<b>SECTION VI</b>				<b>PRIVACY NOTIFICATION</b>			
<p>The Information Practices Act of 1977 and the Federal Privacy Act require this Bureau to inform you that your Social Security number and other documents are requested for proper identification and processing of your claim. You have the right to view your records at this office by writing: Chief, Division of Collections, Bureau of Unclaimed Property, P. O. Box 942850, Sacramento, CA 94250-5873</p>							
<b>SECTION VII</b>				<b>AFFIRMATION</b>			
<p>Each of the undersigned claimants affirms that claimant has read the claim and knows the contents thereof, and that claimant is the sole owner of the said claim and the sole person entitled to receive the money and property set forth in said claim. Each claimant certifies under penalty of perjury that original instruments such as securities certificates, checks, passbooks, etc., have been submitted or, if unable to produce such said original instruments, certifies that claimant has not sold, pledged, hypothecated or otherwise transferred said instruments or any interest or right therein. If said instruments are found by claimant, the claimant agrees to deliver them to the State Controller's Office for cancellation. Each claimant agrees to indemnify and hold harmless the State, officers and employees from any loss resulting from the payment of said claim.</p>							
<b>DO NOT SIGN CLAIM FORM UNLESS A DESCRIPTION OF ACCOUNT IS SHOWN IN SECTION I OR IS ATTACHED TO FORM.</b>							
CLAIMANT'S SIGNATURE:			SSN:				
CLAIMANT'S SIGNATURE:			SSN:				
<p>Subscribed and sworn to before me this _____ day of _____, _____ (Year)</p> <p style="text-align: center;">_____ Notary Public in and for the county</p> <p style="text-align: center;">of _____ State of _____</p>							



**DECLARATION UNDER PROBATE CODE SECTION 13101**

The undersigned, each for himself or herself and not for the others, declare:

1. That \_\_\_\_\_ [*Name of Decedent*], hereinafter "Decedent," died in the  
City of \_\_\_\_\_, County of \_\_\_\_\_,  
State of \_\_\_\_\_ on \_\_\_\_\_, \_\_\_\_\_.  
(Year)
2. At least 40 days have elapsed since the death of the Decedent, as shown in a certified copy of the Decedent's death certificate attached to this declaration.
3. No proceeding is now being or has been conducted in California for administration of the Decedent's estate.
4. The current gross fair market value of the Decedent's real and personal property in California, excluding the property described in Section 13050 of the California Probate Code, does not exceed one hundred thousand dollars (\$100,000).
5. The property of Decedent which is to be paid, transferred or delivered by the California State Controller's Office to the declarant pursuant to this declaration is:  
\_\_\_\_\_  
\_\_\_\_\_
6. CHECK ONE OF THE FOLLOWING and, if applicable, FILL IN BLANK:  
  
\_\_\_\_\_ The declarant(s) is/are the successor(s) of the Decedent (as defined in Section 13006 of the California Probate Code) to the Decedent's interest in the described property. [*e.g., beneficiary of Decedent's will or, where Decedent left no will, the surviving spouse, child, grandchild, parent, brother or sister, niece or nephew, grandparent, aunt or uncle, cousin, etc.*]  
  
\_\_\_\_\_ The declarant(s) is/are authorized under Section 13051 of the California Probate Code to act on behalf of the successor of the Decedent (as defined in Section 13006 of the California Probate Code) with respect to the Decedent's interest in the described property. [*e.g., guardian or conservator of Decedent's estate, trustee of Decedent's trust, custodian of Decedent's will or personal representative of beneficiary(ies).*] The name(s) of the successor(s) of the Decedent is/are:  
\_\_\_\_\_
7. No other person has a superior right to the interest of the Decedent in the described property.
8. The declarants request that the described property be paid, delivered, or transferred to the declarants.
9. The declarants declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed this \_\_\_\_\_ day of \_\_\_\_\_ at \_\_\_\_\_.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name [*Print or Type*]

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name [*Print or Type*]

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name [*Print or Type*]

Please note: This form must be completed in full and notarized.

Property ID # \_\_\_\_\_

**Table of Heirship** for \_\_\_\_\_, Deceased

Date of Death: \_\_\_\_\_

				Date of		
	FIRST	MIDDLE	(MAIDEN)	LAST	Birth	Death
1. Spouse of the Deceased	3 <sup>rd</sup>					
	2 <sup>nd</sup>					
	1 <sup>st</sup>					
2. Children of the Deceased	1 <sup>st</sup>					
	2 <sup>nd</sup>					
	3 <sup>rd</sup>					
	4 <sup>th</sup>					
	5 <sup>th</sup>					
	6 <sup>th</sup>					
3. Grandchildren of the Deceased	1 <sup>st</sup>					
	2 <sup>nd</sup>					
	3 <sup>rd</sup>					
	4 <sup>th</sup>					
	5 <sup>th</sup>					
4. Parents of the Deceased	Father:					
	Mother:					
5. Brothers and Sisters of the Deceased	1 <sup>st</sup>					
	2 <sup>nd</sup>					
	3 <sup>rd</sup>					
	4 <sup>th</sup>					
	5 <sup>th</sup>					
6. Children of the Deceased Brothers and Sisters	1 <sup>st</sup>					
	2 <sup>nd</sup>					
	3 <sup>rd</sup>					
	4 <sup>th</sup>					
	5 <sup>th</sup>					

The undersigned claimant, being duly sworn, certifies under perjury that the above information is true and correct to the best of his or her knowledge, and that said claimant has full authority to act on behalf of the other claimants for the purpose of completing the above information.

PLEASE PRINT FULL NAME

SIGNATURE

STREET ADDRESS

CITY

STATE

ZIP

DAYTIME TELEPHONE NUMBER

Subscribed and sworn to before me this \_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(Year)

Notary Public in and for the County

of \_\_\_\_\_ State of \_\_\_\_\_

**REQUEST FOR FINAL DECREE OF DISTRIBUTION**

To: County of \_\_\_\_\_ Date: \_\_\_\_\_

From: (Investigator)

Subject: Final Decree of Distribution  
For the Estate of \_\_\_\_\_  
Deceased \_\_\_\_\_ County of \_\_\_\_\_  
MM/DD/CCYY

Please send us a certified copy of the Final Decree of Distribution for the estate named above.

Enclosed is our check for \$\_\_\_\_\_ to cover the cost of the Final Decree.

If the decedent's estate was not probated, please mark the box below with an "X" and have an authorized officer of the court execute and return this form.

Sincerely,

(Investigator)

☐ To the best of my knowledge, the above-named estate was not probated in the  
County of \_\_\_\_\_

\_\_\_\_\_  
Authorized Officer of the Court Title Date

## Standard Investigator Agreement - Estates

### I.

This agreement is entered into by and between \_\_\_\_\_, hereinafter referred to as "Claimant," and \_\_\_\_\_, hereinafter referred to as "Investigator."

### II.

The Investigator through his/her efforts has located Claimant, who may be entitled to the assets in the possession of the State Controller of California, 3301 C Street, Suite 712, Sacramento, CA 95816 (Mailing Address: P.O. Box 942850-5873) as described below:

NAME OF ESTATE: \_\_\_\_\_  
PROBATE NUMBER: \_\_\_\_\_ COUNTY OF PROBATE: \_\_\_\_\_  
AMOUNT: \_\_\_\_\_ CONTROLLER'S ACCOUNT NUMBER \_\_\_\_\_

### III.

Investigator and Claimant do hereby agree that in consideration of Investigator's efforts in locating Claimant and assisting in the actual recovery of the above-described assets to which Claimant may be entitled, Claimant hereby agrees to pay the Investigator \_\_\_\_\_ of the net assets which Claimant in fact recovers. Claimant agrees that the investigator fee will be paid upon payment of the claim.

### IV.

Investigator and Claimant agree that in the event Claimant is not entitled to assets described above and such assets are not recovered, there is no obligation on either party to the other, all expenses being borne by the Investigator.

Investigator: _____	Daytime Phone: _____
Investigator License #: _____	Date: _____
Address: _____	
Investigator's Signature: _____	
Investigator's Social Security Number or Tax Identification Number: _____	

Claimant: _____	Daytime Phone: _____
Address: _____	Date: _____
Claimant's Signature: _____	
Claimant's Social Security Number or Tax Identification Number: _____	

Claimant: _____	Daytime Phone: _____
Address: _____	Date: _____
Claimant's Signature: _____	
Claimant's Social Security Number or Tax Identification Number: _____	

STEVE WESTLY CONTROLLER OF CALIFORNIA DIVISION OF UNCLAIMED PROPERTY P.O. BOX 942850 SACRAMENTO, CA 94250-5873	CLAIM FOR ABANDONED PROPERTY - ESTATES
<b>DATE</b> _____	<b>CONTROLLER'S ACCOUNT NUMBER</b> _____
<div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div>	<div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div>
<b>ESTATE OF:</b> _____	
<b>PROBATE NO.</b> _____	<b>COUNTY:</b> _____
<b>DATE OF DECREE:</b> _____	<b>VALUE \$:</b> _____
<b>NAMED HEIRS</b> _____	
<b>SECTION I REQUIRED PROOF MUST BE RETURNED WITH THIS FORM</b>	
The following items checked must be returned with this form in support of your claim. Any item(s) not submitted may result in a delay in processing your claim. In addition, if the documents requested are not returned within thirty (30) days, this file will be closed. You may reopen this file, however, by returning the claim form and proof of ownership to this office.	
1. <input type="checkbox"/> NOTARIZATION REQUIRED - This form must be subscribed and sworn to by a Notary Public. (#11)	
2. <input type="checkbox"/> This claim form is to signed by _____	
3. <input type="checkbox"/> CERTIFICATE of DEATH	
4. <input type="checkbox"/> Will and Currently Certified (within the last 6 months) Letters Testamentary appointing Administrator and/or Executor (opened Estate) or certified copy of Final Decree of Distribution (closed Estate) for the Estate of:	
5. <input type="checkbox"/> If the Estate was not probated, please execute the enclosed Declaration Under Probate Code Section 13101.	
6. <input type="checkbox"/> Birth, Death and/or Marriage Certificate associating claimant(s) with owner of account.	
7. <input type="checkbox"/> Provide copy of document verifying your identity (i.e., driver's license, ID card)	
8. <input checked="" type="checkbox"/> ALL CLAIMANTS PLEASE ENTER CURRENT MAILING ADDRESS ON REVERSE SIDE UNDER SECTION III.	
9. <input type="checkbox"/> OTHER - _____	
10. <input type="checkbox"/> Subscribed and sworn to before me this _____ day of _____, _____ (Year)	
_____ Notary Public in and for the county	
of _____ State of _____	
<b>SECTION II AFFIRMATION</b>	
Each of the undersigned claimants affirms that claimant has read the claim and knows the contents thereof; that claimant is the sole owner of the said claim and the sole person entitled to receive the money and property set forth in said claim. Each claimant agrees to indemnify and hold harmless the State, its officers and employees from any loss resulting from the payment of said claim.	
SIGNATURE: _____	DATE: _____
SIGNATURE: _____	DATE: _____
CE-3 REV. 01/01/2004 <span style="float: right;">Page 1 of 2</span>	

SECTION III CURRENT MAILING ADDRESS (TO BE COMPLETED BY ALL CLAIMANTS)			
(1) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ( )
STREET ADDRESS	CITY	STATE	ZIP CODE
(2) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ( )
STREET ADDRESS	CITY	STATE	ZIP CODE
(3) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ( )
STREET ADDRESS	CITY	STATE	ZIP CODE
<b>COMMENTS:</b>			
ANALYST PREPARED:			DATE
ANALYST REVIEWED:			DATE
SUPV./MGR. APPROVED:			DATE
ADMIN. APPROVED:			DATE
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